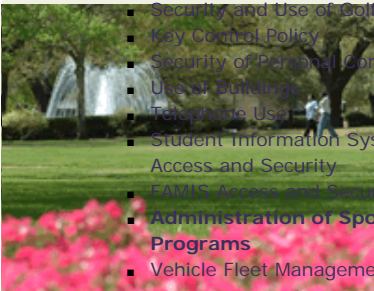




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Accounting and Safeguarding of Assets

40.11 Administration of Sponsored Programs

Issued: September 1, 1998

Updated: June 1, 2000

Updated: September 14, 2000

1. Grant and Contract Administration

The administration activities of the Foundation will be broken into two categories:

1.1 Research Foundation Awards

Responsibilities of the Foundation and the University are distributed as follows:

Research Foundation

No.	Activity
1	Process grant and contract proposals
2	Negotiate contract terms with granting agencies
3	Monitor compliance with grant and contract terms
4	Prepare required financial reports
5	Ensure that technical reports are submitted
6	Coordinate communications with granting agencies
7	Maintain accounting system (FAMIS), including sponsored research module

- Administration of University Construction and Maintenance Projects
- Use of Licensed Commercial Software
- Password Policy
- Traffic and Parking
- **Travel**
- **Human Resources**
- **Students**
- InterCollegiate Athletics
- **Academic Programs and Faculty**
- **Public Affairs and Development**
- PVAMU Rules
- Travel Policies

8	Coordinate/conduct post-award briefings with principal investigators
9	Handle procurement activities
10	Process invoices for payment
11	Process reimbursement billings and drawdowns to granting agency
12	Review and approved all financial reports
13	Process budget changes

Prairie View A&M University

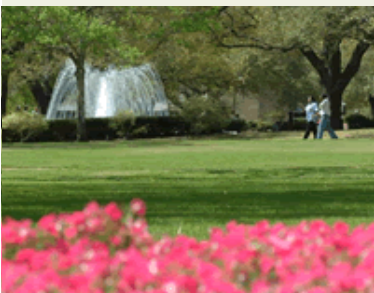
No.	Activity
1	Handle payroll activities
2	Process scholarships
3	Review and approve all proposals
4	Review and approve all financial reports

1.2 University Awards

Responsibilities of the Foundation and the University are distributed as follows:

Office of Sponsored Programs
(Contracted Services with Research Foundation)

No.	Activity
1	Process grant and contract proposals
2	Negotiate contract terms with granting agencies
3	Monitor non-technical compliance with grant and contract terms
4	Prepare required financial reports, reimbursement billings and drawdown requests
5	Ensure that technical reports are submitted
6	Coordinate non-technical communications with granting agencies (contract)



7	Maintain sponsored research module in FAMIS
8	Coordinate/conduct post-award briefings with principal investigators
9	Prepare budget changes
10	Maintain daily cash on hand spreadsheet and prepare interest earnings reimbursements.
11	Review and approve payroll Form 500s
12	Coordinate pre-award and post-award audits
13	Contract sponsors for contract and grant modifications

Prairie View A&M University

No.	Activity
1	Maintain accounting system
2	Handle procurement activities
3	Process invoices for payment
4	Handle payroll activities
5	Process scholarships
6	Process reimbursement billings and drawdowns to granting agency
7	Review and approve all proposals
8	Review and approve all financial reports
9	Process budget changes
10	Process service department billings
11	Monitor technical work/performance

2. Grant and Contract Proposals

- 2.1 The Pre-Award Services Section of the Office of Sponsored Programs (OSP) handles all proposals submitted by the University, except for those submitted through the Prairie View A&M Research Foundation
- 2.2 When a Principal Investigator (PI) notifies the OSP Pre-Award Section of their intention to submit a proposal, they will be asked a series of standard questions pertinent to the proposals process. Generally, the following information will be



needed:

- * A copy of the letter of intent to submit the proposal
- * Sponsor and program for the proposal
- * Preliminary budget information
- * Monthly insurance rates for all personnel listed on budget
- * Period of performance dates
- * Routing text (rough draft or summary of text)
- * For NSF proposals, if use of FastLane (electronic submission of proposals) is required or preferred
- * Proposal due date

When a proposal is scheduled with OSP, it will be given a PVAMU proposal number and will be added to the daily schedule for monitoring.

2.3 The Compliance Office in the Office of Research and Development maintains records on human subjects, animal subjects, recombinant DNA, and conflict of interest. Forms must be submitted for University approval prior to the routing of the proposal. A copy of this information if filed in OSP. Call 857-2056 for additional information.

2.4 As the Proposal Administrator works on the budget, the PI will be contacted by telephone fax, or email and asked for comments and/or approval of the budget. Once the PI approves the budget and submits a routing text, the Proposal Administrator will prepare a package to be routed on campus for all required signature approvals, as per Administrative Procedures Manual 2.03 - Approval of Grant and Contract Proposals. Generally, forty-eight (48) hours will be required for the routing process.

2.5 Approvals of the grant and contract proposals are required as follows:

Approver	Purpose
Principal Investigator	<ol style="list-style-type: none"> 1. Proposal is properly completed and has been edited for grammatical and technical accuracy 2. Proposed activities on the grant can be completed within the proposed time-frame and the proposed budget 3. Resource commitments under the control of the principal investigator are available, should the grant be funded 4. Proposed activities on the grant are within the field of expertise of the principal investigator and the staff identified
Department Head	<ol style="list-style-type: none"> 1. Proposed activities are within the expertise of the faculty and staff identified and within the goals and objectives of the department 2. Resource commitments of the department are available, should the grant be funded 3. Department is able to grant release time for named faculty, should the grant be funded



Dean/Director	<ol style="list-style-type: none"> 1. Proposed activities are within the goals and objectives of the college or program 2. Resource commitments of the college, department or program are available, should the grant be funded
Office of Sponsored Programs	<ol style="list-style-type: none"> 1. Employee benefits are budgeted at proper rates 2. Indirect cost budgeted at proper rates 3. Source of cost sharing properly identified 4. Budget is mathematically accurate 5. All resource commitments summarized on approval sheet 6. All required signatures obtained 7. Budget is in compliance with federal and state regulations
Vice President for Research and Development	<ol style="list-style-type: none"> 1. Verification that University has capacity to perform grant or contract obligations 2. Verification that compliance related issues have been addressed
Applicable Vice President	<ol style="list-style-type: none"> 1. Proposal has been approved by all of the requisite subordinates 2. Resource commitments of division are available, should the grant be funded
Controller	<ol style="list-style-type: none"> 1. Validate that all resource commitments of the University are available 2. Verify that budget is mathematically correct and that benefits and indirect cost are budgeted at appropriate rates
Vice President for Finance and Administration	<ol style="list-style-type: none"> 1. Approve variances from negotiated or sponsor allowed indirect cost rates.

- 2.5 The completed proposal, including the final text, should be forwarded to the Proposal Administrator at least thirty-six (36) hours prior to the mail deadline. When the Proposal Administrator received the final text, the proposal is organized and formatted to meet sponsor guidelines. The final text and other related forms can also be accepted in an electronic version as an email attachment, or copied to a computer diskette. The final quality check of the proposal is made and it is reproduced using the latest technology for quality copies. The original copy of the final proposal is mailed.
- 2.6 Copies of the approved proposal are prepared and distributed to the researcher and other signature authorities within approximately one week after submission to the sponsor.
- 2.7 Principal Investigators can assist with the proposal processing by doing the following:
- * If the technical portion of a proposal is still being written, submit the budget to OSP to initiate processing of the proposal.
 - * When initiating a proposal, be available for questions or designate someone in your



office as a contact.

- * When making changes to a proposal, call or send the changes to the Proposal Administrator so that the changes can be incorporated in the final copy without delay.
- * Be cognizant of the fact that proposal processing time will be longer during the last week of the month because many sponsor deadlines occur at the first of the month.
- * Provides a 3 1/2" diskette containing the proposal text with the final printed copy
- * Allow five working days for complete processing of a proposal. This five day period includes the day you first notify OSP of your intent to submit a proposal, preparation of the budget, the routing (approval) process on campus, final quality check, and mailing the proposal to the sponsor.

3. Procedures Related to University Awards

3.1 Grant and Contract Award Signatures

All grant and contract awards requiring University signature of acceptance of terms will be signed by the President. The grant or contract will be submitted to the Office of Finance and Administration for review and coordination of required General Counsel review and for signature by the President. Standard processing time for signatures will be as follows:

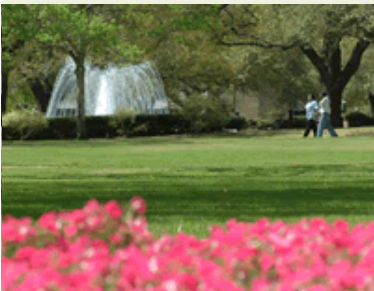
- a. If General Counsel review is required - 2 weeks
- b. If General Counsel review is not required - 48 hours

3.2 Grant and Contract Accounts

OSP will initiate the establishment of account for each grant and contract award by completing the University's Account Create Form. OSP will specify the budget pool parameters desired for the account. This form is submitted to the Controller for approval and then processed by the General Accounting Office. Standard processing time of an account create request will be 24 hours.

3.3 Grant and Contract Budgets

OSP will initiate the establishment of an operating budget for each grant and contract award after the requested account has been established and the grant or contract document has been signed. The request will be initiated using the University's Budget Transfer Form and will be supported by a copy of the grant or contract. The request will be submitted to the Controller for approval. Standard processing time of a budget request will be 48 hours.



3.4 Payroll

Payments to employees are initiated via a Form 500 or Payroll Adjustment Form. All Form 500s or Payroll Adjustments on grant or contract accounts must be approved by the Foundation, in addition to the offices noted on these forms, to ensure allowability on the grant or contract.

3.5 Purchase Requisitions

All purchases of goods and services from outside vendors on University accounts must be initiated by a Purchase Requisition by the requesting department. All Purchase Requisitions on grant or contract accounts must be approved by the Foundation to ensure allowability on the grant or contract. Upon approval by the Foundation, the Purchase Requisition is forwarded to the Purchasing Office for normal University processing.

3.6 Interdepartmental Orders

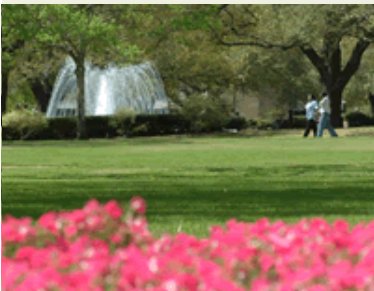
All purchases of goods and services from University departments on University accounts must be initiated by a Purchase Requisition by the requesting department. All Purchase Requisitions on grant or contract accounts must be approved by the Foundation to ensure allowability on the grant or contract. Upon approval by the Foundation, the Purchase Requisition will be submitted to the Budget Office for encumbering and then forwarded to appropriate service department for processing.

3.7 Scholarships

All scholarships are initiated using a Scholarship/Grant Authorization form. All Scholarship/Grant Authorization forms on grant or contract accounts must be approved by the Foundation to ensure allowability on the grant or contract. Upon approval by the Foundation, the form is forwarded to the Student Financial Aid Office for processing.

3.8 Invoice Payment

Vendors are instructed on the University's Purchase Order form to forward invoices to the Accounts Payable Office. Invoices received are matched with the receiving report and purchase order before processing of payment. If the receiving report is not present, the applicable department is requested to verify that the goods or services were received and approve the invoice for payment.



3.9 Financial Reports

All required financial reports on grants and contracts will be prepared by the Foundation and submitted to the Controller for approval prior to submission to the granting agency. Standard processing time for the financial reports will be 24 hours.

3.10 Reimbursements

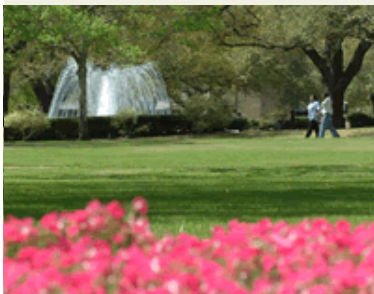
Reimbursement draw downs on letters of credit will be made on a bi-weekly basis. Reimbursements that are not on letter of credit will be submitted on a monthly basis to the granting agency. OSP will prepare/initiate all reimbursement drawdown and billing requests. The Treasury Services Office will process the drawdown requests electronically, and initiate the posting of the appropriate accounting entries for these transactions. OSP will mail the reimbursement billing requests.

4. Procedures Related to Cost Sharing and Matching

- 4.1 When a grant or contract award involving University cost sharing or matching is received, the applicable administrative office (OSP or Prairie View A&M Research Foundation) will submit a request to the Fiscal Office to establish a support account for the cost sharing or matching activity.
- 4.2 After the support account has been established, the administrative office will prepare and submit to the Fiscal Office a budget transfer form for the transfer of funds from the funding account to the support account.
- 4.3 If the cost sharing or matching commitments involve salaries, the administrative office will notify the Principal Investigator to prepare and route through the normal approval chain a Form 500 to transfer the requisition percent of salaries to the support account. In preparing the Form 500, the Principal Investigator will indicate in the justification section the allocation of time to the related grant or contract.
- 4.4 Upon completion of the above steps, the Principal Investigator will be allowed to begin spending on their grant or contract award.

the Principal

**Contacts: Vice President of Research and Development
Controller**



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